

OFFICE OF BUDGET AND PROGRAM ANALYSIS

REVISED FY 2000 AND FY 2001 ANNUAL PERFORMANCE PLANS

The Office of Budget and Program Analysis (OBPA) was established in June 1981. OBPA's predecessor organization was established on July 8, 1922, by Secretary's Memorandum No. 389, under the provisions of the Budget and Accounting Act of 1921, which designated that a Budget Officer was to have charge of the preparation of estimates and other appropriations for the Department. The agency's current major activities consist of coordinating the preparation of the Department's budget estimates, legislative reports and regulations as well as selected program analyses. OBPA is one of several Department level offices that provide centralized leadership, coordination and support for the various administrative and policy functions of the Department, by assisting program agencies in their efforts to improve service to all USDA customers.

The mission of OBPA is to provide analyses and information to the Office of the Secretary and other policy officials to support informed decisionmaking regarding the Department's programs and policies, budget, legislative, and regulatory actions.

This plan reflects changes to the Strategic Plan and previous performance plans. Management Initiative 2 has been discontinued as efforts to improve information management systems are now included under the means and strategies of OBPA's strategic goals. Additionally, this plan does not contain workload indicators previously measured under strategic goal 3. It was determined that they did not contribute appreciably to the measurement of program performance.

Goal 1: Assist the Office of the Secretary and other policy officials in decisionmaking and policy implementation by providing objective information and analyses regarding the Department's programs and policies.

Objective: Conduct policy and program analyses, and other reviews that provide objective and analytically sound information.

Program Activity: Office of Budget and Program Analysis

	FY 1998 Actual	FY 1999 Actual	FY 2000 Estimate	FY 2001 Estimate
Funding (thousands)	\$1,953	\$1,879	\$2,068	\$2,132
FTEs	23	20	21	21

PERFORMANCE GOALS AND INDICATORS	FY 1998 Actual	FY 1999 Actual	FY 2000 Target	FY 2001 Target
Provide information and analyses that are valuable and useful to decision makers Agency/mission area documents are analyzed for accuracy and consistency with current policy; briefing materials, decision and information memoranda are prepared to advise the Office of the Secretary about issues and alternatives to support informed decision making.	Yes	Yes	Yes	Yes

Discussion of Annual Performance Goals: OBPA's Performance Goal 1 supports all three USDA Goals. The expertise of OBPA's staff is requested on an as needed basis to provide objective information and analysis to policy officials regarding the Department's programs. As a result, policy officials will be able to make more informed decisions.

Means and Strategies: To assist in accomplishing the above performance goal, the FY 2000 appropriation includes increases for strengthening budget and program analysis capabilities and information technology support. The FY 2001 request includes funds to maintain staff. Such increases contribute to improving the efficiency of program operations. The strategies OBPA will employ to accomplish the above performance goals are:

- Conduct reviews of current programs, proposed programs, organizational plans, and reorganization proposals.
- Conduct reviews of problem areas perceived to be impacting management efficiency.
- Develop reports, briefing papers, and issue statements for action by decision making officials setting forth findings and recommendations.
- Ensure agency developed material requiring action by the Office of the Secretary is analytically sound and consistent with Administration policy.
- Monitor ongoing studies with significant program or policy implications.
- Provide analytical support and program analyses for major Departmental initiatives, special studies of selected issues, and projects.
- Review, in a timely manner, correspondence prepared for Secretarial or sub-cabinet signature for accuracy and consistency with Departmental policy.
- Review, in a timely manner, Congressional testimony, Questions and Answers, and other hearing documents for accuracy and consistency with Departmental policy.

Verification and Validation: OBPA's activities support a Department-level policy decision making process. Thus, measurement of much of OBPA's performance is based on subjective judgment. As such, a determination of the successful achievement of these performance goals and indicators includes feedback from the Office of the Secretary (OSEC) will be solicited through ongoing consultations and used as part of the validation process. Because these indicators do not lend themselves to quantifiable measures, their verification and validation are difficult.

Goal 2: Ensure the Department's Budget is consistent with Administrative policy and that resources are allocated to agencies consistent with priorities and applicable laws.

Objective: Coordinate the preparation and presentation of a Department-wide budget and monitor the acquisition and allocation of resources to the agencies.

Program Activity: Office of Budget and Program Analysis

	FY 1998 Actual	FY 1999 Actual	FY 2000 Estimate	FY 2001 Estimate
Funding (in thousands of dollars)	\$2,206	\$2,221	\$2,575	\$2,603

	FY 1998 Actual	FY 1999 Actual	FY 2000 Estimate	FY 2001 Estimate
FTEs	26	24	26	26

PERFORMANCE GOALS AND INDICATORS	FY 1998 Actual	FY 1999 Actual	FY 2000 Target	FY 2001 Target
<p>The USDA budget and its components are supported by sound justifications, consistent with policy direction, and submitted with the President's Budget.</p> <p>Agency appeals/implications are coordinated and communicated to Departmental policy officials and OMB during budget negotiations.</p> <p>Accurate and timely budget justifications and summary documents, coordinated with OMB and USDA policy officials, are produced to coincide with the submission of the President's Budget.</p> <p>Funding adjustments, including reprogramming and interchanges, are coordinated with OMB and forwarded to USDA policy officials with a complete analysis of implications.</p> <p>Funding allocations, transcripts, and the Catalog of Federal Domestic Assistance are reviewed for accuracy and completeness.</p>	Yes	Yes	Yes	Yes
<p>As a result of the production of concise budget justifications, USDA programs and funding requests are better understood by Department officials and Congressional staff, improving decision making regarding USDA programs.</p> <p>Accurate Explanatory Notes are prepared, coordinated with OMB, and submitted to Congress in support of the President's Budget.</p> <p>Congressional action on USDA's Budget is monitored.</p>	Yes	Yes	Yes	Yes
<p>As a result of OBPA's monitoring of staff years, Departmental officials can make more informed staffing decisions to best manage programs and the delivery of services.</p> <p>Agency and Departmental use of staff years are monitored and analyzed.</p>	Yes	Yes	Yes	Yes

Discussion of Annual Performance Goals: OBPA's Performance Goal 2 supports all three USDA Goals. The performance indicators represent the products of OBPA work in preparing, presenting and monitoring the USDA Budget. However, OBPA plays a much larger role in the budget process than just producing these outputs and ensuring they are complete, accurate, and consistent with Departmental and Administration policy. The performance goals attempt to capture OBPA's role in ensuring the budget documents contain the information and analyses needed to support informed decisionmaking throughout the budget process.

Means and Strategies: The aforementioned FY 2000 budget increases and FY 2001 requests will be used in concert with base funding levels to assist in accomplishing the above performance goal. The strategies OBPA will employ to accomplish the above performance goals are:

- Develop and maintain the USDA Budget Manual, providing instructions and guidance for budget formulation and presentation.
- Provide comprehensive analyses of budget proposals and agency estimates.
- Analyze and evaluate budget initiatives serving minority constituents and small farmers.
- Develop alternatives and supporting data for use by the Secretary, Deputy Secretary, and other policy officials in making budget decisions including reprogramming and reallocations.
- Serve as liaison with Executive Office of the President to justify and defend USDA's budget request.
- Prepare materials, including the USDA Budget Summary, for presentation of the Budget to the Congress, news media, interest groups and the public.
- Coordinate and prepare supporting justifications for budget requests to be presented to the Appropriations Committees.
- Serve as liaison with the Appropriations Committees and their staffs for the purpose of scheduling hearings, reviewing transcripts, and answering questions concerning USDA programs.
- Provide direction and oversight of the allocation and use of funds and staff years.

Verification and Validation: The determination of the successful achievement of these performance goals and indicators will involve the same means as those discussed under strategic goal 1. However, in addition to OSEC, feedback will also be solicited from OMB and Congress.

Goal 3: Ensure the Department's legislative proposals and regulatory actions are analytically adequate and consistent with Departmental and Administration policy.

Objective: Provide appropriate oversight and analysis of legislative and regulatory actions.

Program Activity: Office of Budget and Program Analysis

	FY 1998 Actual	FY 1999 Actual	FY 2000 Estimate	FY 2001 Estimate
Funding (in thousands of dollars)	\$1,783	\$1,794	\$1,938	\$2,030
FTEs	21	19	20	20
PERFORMANCE GOALS AND INDICATORS	FY 1998 Actual	FY 1999 Actual	FY 2000 Target	FY 2001 Target

Development of legislative reports and proposals supported by adequate analyses and consistent with Departmental policy.	Yes	Yes	Yes	Yes
Development of regulations consistent with Administration and Departmental policy.	Yes	Yes	Yes	Yes
The Annual Regulatory Plan and Semi-annual Regulatory Agenda: updates are coordinated with USDA agencies to ensure they can be completed and submitted in a timely manner, and that new entries have policy clearance.	Yes	Yes	Yes	Yes

Discussion of Annual Performance Goals: OBPA's Goal 3 supports all three USDA strategic goals. OBPA's contribution to the development of legislative reports and departmental regulations helps ensure that USDA operates fairly, efficiently, and effectively.

Means and Strategies: Funding to maintain staffing levels and improve information technology within OBPA are the means to achieving the above performance goals. The strategies OBPA will employ are:

- Develop and maintain Departmental guidance (DM 1260-1) governing the preparation, review and clearance of the annual legislative program and legislative reports.
- Provide comprehensive analyses of the program, potential costs and policy aspects/implications of proposed legislation to assist in the formulation of the Department's views.
- Coordinate the clearance of legislative proposals and legislative reports through the Department and OMB, including advising policy officials of results of analyses, responding to inquiries, maintaining transmittal and clearance records, and notifying agencies of USDA policy level decisions and OMB action.
- Prepare the Department's Legislative Program providing a summary of each legislative item proposed for introduction during the next session of Congress and estimate the budget impact when applicable.
- Provide a uniform system of guidance and assistance for preparing analyses required under E.O. 12866, Regulation Planning and Review, and other relevant E.O.'s and statutes.
- Ensure regulations are in compliance with DR 1512-1, Regulatory Decision making Requirements.
- Advise policy officials on contemplated regulatory actions through the review of Work Plans.
- Coordinate and provide appropriate assistance in the preparation of the USDA portion of OMB's Regulatory Plan and the Semi-Annual Regulatory Agenda.
- Serve as USDA government-wide contact on all regulatory matters.
- Coordinate the clearance of regulations through USDA policy officials and OMB, including responding to inquiries, maintaining transmittal and clearance records, and notifying agencies of policy officials decisions and OMB action.

Verification and Validation: The determination of the successful achievement of these performance goals and indicators will involve the same means as those discussed under previous strategic goals. Feedback from OSEC will be solicited and used as part of the validation process.

Management Initiative 1: Build a more productive and diverse workforce.

Program Activity: Office of Budget and Program Analysis

	FY 1998 Actual	FY 1999 Actual	FY 2000 Estimate	FY 2001 Estimate
Funding	Included under program goals.			
FTE's				

PERFORMANCE GOALS AND INDICATORS	FY 1998 Actual	FY 1999 Actual	FY 2000 Target	FY 2001 Target
Maintain or increase the percent of all employees who receive training or other professional development.	44%	44% ¹	46%	46%
Ensure employees are treated with dignity and respect and applicants are provided equal employment opportunities. Number of EEO and discrimination complaints filed.	0	0	0	0
Increase or maintain the percentage of female and minority OBPA employees at all grade levels to ensure a workforce that reflects the general population.				
Percentage of Females	51%	51%	51%	51%
Percent of Black/Hispanic/Asian	29%	30%	30%	30%

Discussion of Annual Performance Goals: OBPA's Management Initiative 1 supports USDA Management Initiative 1 concerning fair and equitable treatment to all customers and employees. OBPA's goal is to overcome the barrier of not being able to reach well qualified minority candidates for the agency's few vacancies. A second related goal is to assure extra effort on the part of managers and supervisors to retain minority employees after hiring.

¹ All employees of the OBPA received Civil Rights training on Sexual Harassment; GS-13 to GS-15s received Ethics training.

Means and Strategies: The strategies OBPA will employ to accomplish the above performance goals are:

- Implement and enforce all applicable policies, regulations, rules, memorandums, etc., developed as a result of the Civil Rights Action Team Report.
- Invest resources in training and employee development.
- Update office automation skills of support staff.
- Ensure general information, decisions, and instructions are clearly communicated in a timely manner.
- Ensure all employees are treated with dignity and respect and provided equal employment opportunities.
- Disseminate vacancy announcements widely in an effort to ensure a diverse pool of applicants for job openings.
- Expand recruitment efforts to help eliminate under-representation of targeted groups.

Verification and Validation: Records concerning training and EEO and discrimination complaints are maintained by OBPA staff. OBPA receives statistical reports from the National Finance Center and the Office of Human Resources and Management several times a year with current and short historical change records concerning minority employment.

SUMMARY OF FY 2000 OBPA RESOURCES
(Dollars in Thousands)

	Goal 1	Goal 2	Goal 3	Total
Office of Budget and Program Analysis FTEs	\$2,068 21	\$2,575 26	\$1,938 20	\$6,581 67

(Funding for Management Initiative 1 is included under program goals)

SUMMARY OF FY 2001 OBPA RESOURCES
(Dollars in Thousands)

	Goal 1	Goal 2	Goal 3	Total
Office of Budget and Program Analysis FTEs	\$2,132 21	\$2,603 26	\$2,030 20	\$6,765 67

(Funding for Management Initiative 1 is included under program goals)